



TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

8 pages + 2
References

Application Number

09/938,200

Filing Date

August 23, 2001

First Named Inventor

Carmel M. LYNCH

Group Art Unit

1632

Examiner Name

M. Wilson

Attorney Docket Number

226272001702

ENCLOSURES (check all that apply)Fee Transmittal Form + duplicate
copy for fee processing - 2 pages

Fee Attached



Amendment/Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request

Information Disclosure Statement
(Supplemental) - 3 pagesCertified Copy of Priority
Document(s)Response to Missing Parts/
Incomplete ApplicationResponse to Missing Parts
under 37 CFR 1.52 or 1.53Assignment Papers
(for an Application)

Drawing(s)



Licensing-related Papers



Petition

Petition to Convert to a Provisional
ApplicationPower of Attorney, Revocation
Change of Correspondence Address

Terminal Disclaimer



Request for Refund



CD, Number of CD(s) _____

After Allowance Communication
to GroupAppeal Communication to Board of
Appeals and InterferencesAppeal Communication to Group
(Appeal Notice, Brief, Reply Brief)

Proprietary Information



Status Letter

Other Enclosure(s)
(please identify below)

1. Form PTO-1449 + duplicate
copy - 2 pages
2. Two (2) References
3. Return Receipt Postcard

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm

or

Individual Name

Morrison & Foerster LLP, 755 Page Mill Road, Palo Alto, California 94304-1018

Eric Witt (Registration No. 44,408)

Signature

Date

April 22, 2003

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on the date shown below.

Dated: 4/22/03

Signature: 

(Julie M. Hassell)

TECH CENTER 160012900

APR 30 2003

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FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 180.00

Complete if Known

Application Number 09/938,200
 Filing Date August 23, 2001
 First Named Inventor Carmel M. LYNCH
 Examiner Name M. Wilson
 Group Art Unit 1632
 Attorney Docket No. 226272001702

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account

Deposit Account Number

03-1952

Deposit Account Name

Morrison & Foerster LLP

The Commissioner is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☐ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|--------------|--------------|----------|----------|----------|----------|------------------------|----------|
| | | 1001 | 750 | 2001 | 375 | Utility filing fee | |
| | | 1002 | 330 | 2002 | 165 | Design filing fee | |
| | | 1003 | 520 | 2003 | 260 | Plant filing fee | |
| | | 1004 | 750 | 2004 | 375 | Reissue filing fee | |
| | | 1005 | 160 | 2005 | 80 | Provisional filing fee | |

SUBTOTAL (1) (\$ 0.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 13 | -20 | 0 x 9 | = 0.00 |
| Independent Claims | 1 | -3** = 0 x 42 | = 0.00 |
| Multiple Dependent | | 140 | = 0.00 |

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description |
|--------------|--------------|----------|----------|----------|----------|--|
| | | 1202 | 18 | 2202 | 9 | Claims in excess of 20 |
| | | 1201 | 84 | 2201 | 42 | Independent claims in excess of 3 |
| | | 1203 | 280 | 2203 | 140 | Multiple dependent claim, if not paid |
| | | 1204 | 84 | 2204 | 42 | ** Reissue independent claims over original patent |
| | | 1205 | 18 | 2205 | 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|--------------|--------------|----------|----------|----------|----------|--|----------|
| 1051 | 130 | 2051 | 65 | | | Surcharge - late filing fee or oath | |
| 1052 | 50 | 2052 | 25 | | | Surcharge - late provisional filing fee or cover sheet. | |
| 1053 | 130 | 1053 | 130 | | | Non-English specification | |
| 1812 | 2,520 | 1812 | 2,520 | | | For filing a request for <i>ex parte</i> reexamination | |
| 1804 | 920* | 1804 | 920* | | | Requesting publication of SIR prior to Examiner action | |
| 1805 | 1,840* | 1805 | 1,840* | | | Requesting publication of SIR after Examiner action | |
| 1251 | 110 | 2251 | 55 | | | Extension for reply within first month | |
| 1252 | 410 | 2252 | 205 | | | Extension for reply within second month | |
| 1253 | 930 | 2253 | 465 | | | Extension for reply within third month | |
| 1254 | 1,450 | 2254 | 725 | | | Extension for reply within fourth month | |
| 1255 | 1,970 | 2255 | 985 | | | Extension for reply within fifth month | |
| 1401 | 320 | 2401 | 160 | | | Notice of Appeal | |
| 1402 | 320 | 2402 | 160 | | | Filing a brief in support of an appeal | |
| 1403 | 280 | 2403 | 140 | | | Request for oral hearing | |
| 1451 | 1,510 | 1451 | 1,510 | | | Petition to institute a public use proceeding | |
| 1452 | 110 | 2452 | 55 | | | Petition to revive - unavoidable | |
| 1453 | 1,300 | 2453 | 650 | | | Petition to revive - unintentional | |
| 1501 | 1,300 | 2501 | 650 | | | Utility issue fee (or reissue) | |
| 1502 | 470 | 2502 | 235 | | | Design issue fee | |
| 1503 | 630 | 2503 | 315 | | | Plant issue fee | |
| 1460 | 130 | 1460 | 130 | | | Petitions to the Commissioner | |
| 1807 | 50 | 1807 | 50 | | | Processing fee under 37 CFR 1.17(q) | |
| 1806 | 180 | 1806 | 180 | | | Submission of Information Disclosure Stmt | 180.00 |
| 8021 | 40 | 8021 | 40 | | | Recording each patent assignment per property (times number of properties) | |
| 1809 | 750 | 2809 | 375 | | | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 1810 | 750 | 2810 | 375 | | | For each additional invention to be examined (37CFR 1.129(b)) | |
| 1801 | 750 | 2801 | 375 | | | Request for Continued Examination (RCE) | |
| 1802 | 900 | 1802 | 900 | | | Request for expedited examination of a design application | |

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180.00

SUBMITTED BY

Name (Print/Type) Erie H. Witt

Signature

Registration No. (Attorney/Agent)

44,408

Complete (if applicable)

Telephone (650) 813-5755

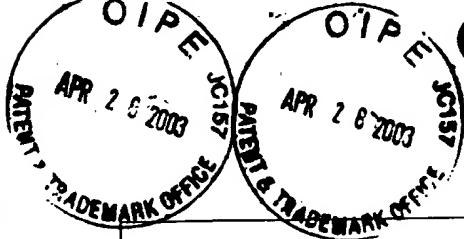
Date April 22, 2003

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Dated: 4/22/03

Signature:

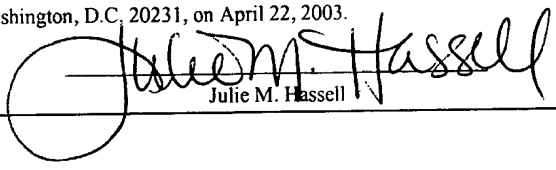
(Julie M. Hassell)



PATENT
Docket No. 226272001702

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
Assistant Commissioner for Patents, Washington, D.C. 20231, on April 22, 2003.


Julie M. Hassell

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Carmel M. LYNCH and Randolph L.
GEARY

Serial No.: 09/938,200

Filing Date: August 23, 2001

For: METHODS FOR TRANSDUCING
CELLS IN BLOOD VESSELS USING
RECOMBINANT AAV VECTORS

Examiner: M. Wilson

Group Art Unit: 1632

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APR 30 2003
TECH CENTER 1600/2900

**SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97 AND § 1.98**

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

04/29/2003 CNGUYEN 00000007 031952 09938200

01 FC:1806 180.00 CH

This Supplemental Information Disclosure Statement is submitted:

- ☐ Before the mailing of a first Office Action after the filing of a Request for Continued Examination under § 1.114.
- ☐ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☒ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
 - ☐ A fee is required. A check in the amount of ___ is enclosed.
 - ☒ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of ___ is enclosed.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17 is attached to this submission in duplicate.)

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Supplemental Information Disclosure Statement under 37 C.F.R. § 1.97 and § 1.98 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does

not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicants petition for any required relief including extensions of time and authorize the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 226272001702. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: April 22, 2003

Respectfully submitted,

By: 

Eric Witt
Registration No. 44,408

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